

INSTALLATION OF THE LOW NO_x REBUILD KIT ON
CERTAIN OVERHAULED (DEFINED IN THE PROBLEM
STATEMENT) 3116, 3126, 3126B, 3176B, C-10,
C-12 AND 3406E ENGINES

SMCS 1920

RP5580

THIS PROGRAM IS BEING INITIATED AS A RESULT OF A CONSENT DECREE
BETWEEN CATERPILLAR AND THE ENVIRONMENTAL PROTECTION AGENCY
(EPA) OF THE FEDERAL GOVERNMENT OF THE UNITED STATES OF AMERICA

NOTE: This Program can only be administered after an
overhaul occurs, if on or after December 28, 1999.
When reporting the repair, use "RP5580" as the Part
Number and "7738" as the Group Number. Use "96" as
the Warranty Claim Description Code and use "Z" as
the SIMS Description Code.

NOTE: For U.S. Dealers - Under the provisions of the
Consent Decree between Caterpillar and the U.S. EPA,
failure to apply this program may result in penalties
under the tampering provisions of the Clean Air Act.

NOTE: For Canadian Dealers - In agreement with the
Transport Canada Office of Energy and Emissions, we
are implementing the Low NO_x Rebuild Program in
Canada on the same time schedule and rebuild
definition as in the United States.

NOTE: This Revised Program replaces the March 26, 2000
Program Letter. Changes have been made to the
Affected Product.

TERMINATION DATE

December 28, 2009

PROBLEM

Your dealership has received a letter from Caterpillar with an attached letter from the U.S. Environmental Protection Agency (EPA) pointing out your responsibilities in Low NOx Rebuild Kits. Please refer to that letter for the specifics of your legal requirements under federal law. The letter from Caterpillar states, any time that an engine is overhauled (an overhaul is defined by having four or more pistons, four or more sets of piston rings, and/or four or more cylinder liners replaced) you are required to install a Low NOx Rebuild Kit. Caterpillar guidelines, while different than the EPA letter, are broader than, but encompass the EPA guidelines and have been approved by the EPA.

Caterpillar Dealers and full service TEPS Dealers are required to install the Low NOx Rebuild Kit in any engine overhauled by all other Dealers/Shops or truck owners when the engine is brought in for installation of a Low NOx Rebuild Kit.

When an engine in the Affected Product of this program is replaced with a new engine, a Caterpillar remanufactured engine, an engine rebuilt by a non-authorized engine builder, a used engine or is repaired with a short block, the Low NOx Rebuild kit must be installed (see parts needed)*. If the rating, horsepower, or arrangement number is changed during the overhaul, it is the responsibility of the dealer to assure that the truck has the appropriate aftercooler core, cooling system components, etc. This program covers only the installation cost of the kit and the dealer or customer must cover all other expenses.

AFFECTED PRODUCT

<u>Model</u>	<u>Identification Number</u>
3406E	5EK5767-UP, 6TS97-UP, 1LW1-33262, Reman 4AS1-385
3126	1WM210-26819, 4ES226-454, Reman 6RW1-Up
3126B	7AS1-37588
3116	8WL297-7351
3176B	9CK647-32795, Reman 3LZ1-Up
C-10	2PN1000-7278, 8YS449-7060, Reman AKB1-Up
C-12	1YN1200-12844, 9NS372-19786, Reman ALS1-Up

NOTE: This program affects all serial numbers above.
Engines that will always be excluded from the Low NOx Rebuild Program that were built between 1993 and 1998 are: 3406E (5EK1-5766, 5DS1-UP), 3406C PEEC (4CK1-UP), 3176(A) (7LG1-Up). All mechanical engines.

PARTS NEEDED

- 1 - Appropriate flash file from the Corporate Mail Box System, SIS Web or SIS Disk. (All Low NOx Software will be identified in the "Description Box" as Low NOx Kit Software)
- 1 - 153-8524 Program Label (For Caterpillar Dealers and full service TEPS Dealer overhaul)(yellow color)
- 1 - 153-8525 Program Label (For all other dealers/shops and truck owners overhaul)(pink color)

ACTION REQUIRED

See attached Rework Procedure.

SERVICE CLAIM ALLOWANCES

Product smu/age	Caterpillar		Dealer Suggested		Customer Suggested	
	Parts	Labor Hrs	Parts	Labor Hrs	Parts	Labor Hrs
	(C/L)	(Sell)			(C/L)	(Sell)
unlimited	100%	0.5	0	0	0	0

NOTE: This is a 0.5 hour job.

Note: Up to 100 Serial Numbers can be claimed on one claim.
All Serial Numbers must be listed in the claim story.
The interlock code will generate an automatic SIMS
entry for each serial number.

QTY	SMCS Code	Labor Hrs	Description
1 through 100	1920-591	0.5	Software

Rework Procedure

- A. For engines overhauled by a Caterpillar Dealer or full service TEPS Dealer.
- 1) Assure existing engine information plate and EPA label reflect the current rating (i.e. the rating after the overhaul), if the information on the information plate needs to be corrected, it is the responsibility of the owner. If the EPA label is incorrect, reference Truck Engine News Feb. 96, p. 2 for the serial numbers that require the new EPA label. If a new label is required call 309-578-3054.
 - 2) Determine the low NOx rebuild flash file that is compatible with the parts used for the overhaul.
 - 3) Install the correct flash file.
 - 4) Get the yellow colored 153-8524 low NOx Rebuild Program Label and fill in the date the software was installed and your dealer code using a black permanent marking pen. Install the Rebuild Program Label adjacent to the EPA Certification Film on all engines, except Reman Engines. For Reman Engines: 3406E (4AS) install the label in the center of the oil cooler; 3176B (3LZ), C-10 (AKB), C-12 (ALS) install on the front cover and for the 3126 (6RW) install on the valve cover. This Label is to remain on the engine for the life of the engine.
 - 5) Failure to install a Low NOx Rebuild kit as required, or removal of a Low NOx Rebuild kit once installed may constitute tampering under Section 203(a)(3) of the Clean Air Act.
- B. Caterpillar Remanufactured engines will incorporate the Low NOx rebuild kits. There will be no change in Reman engine part numbers. If an engine, in the affected product, is replaced with a Reman engine, check to make sure the low NOx kit has been installed in the Reman engine. If the low NOx kit has not been installed, then install it following procedures described in this letter (see parts needed).

C. For engines overhauled by all other Dealers/Shops and Truck Owners:

- 1) Have a representative of the shop which performed the overhaul complete and sign the attached form. Please do not alter the form in any way. If they refuse to sign the form, the Caterpillar or full service TEPS Dealer must fill out a service report and make a SIMS entry using RP5580 as the part causing failure, add in the 20 space comment field "REFUSED TO SIGN", and call the Truck Engine Call Center at (800) 447-4986 to report the engine Serial Number, the name of the person who refused to sign the form and that person's employer. (Proceed to Step 2 only if the form is signed)
- 2) Assure existing engine information plate and EPA label reflect the current rating (i.e. the rating after the overhaul), if the information on the information plate needs to be corrected, it is the responsibility of the owner. If the EPA label is incorrect, reference Truck Engine News Feb. 96, p. 2 for the serial numbers that require the new EPA label. If a new label is required call 309-578-3054.
- 3) Determine the low NOx rebuild flash file that is compatible with the parts used for the overhaul.
- 4) Install the correct flash file.
- 5) Get the pink colored 153-8525 low NOx Rebuild Program Label and fill in who completed the overhaul, the date the software was installed and your dealer code using a black permanent marking pen. Install the Rebuild Program Label adjacent to the EPA Certification Film on all engines, except Reman Engines. For Reman Engines: 3406E (4AS) install the label in the center of the oil cooler; 3176B (3LZ), C-10 (AKB), C-12 (ALS) install on the front cover and for the 3126 (6RW) install on the valve cover. Inform the person/company that did the overhaul that this Label is to remain on the engine for the life of the engine.
- 6) Failure to install a Low NOx Rebuild kit as required, or removal of a Low NOx Rebuild kit once installed may constitute tampering under Section 203(a)(3) of the Clean Air Act.

Certification of Overhaul Parts

I _____ (Name)

_____ (Title)

_____ (Company)

_____ (Dealer No.)

certify that the parts used to overhaul Caterpillar engine

_____ model

_____ S/N

_____ Rating (HP)

on _____ / _____ / _____ (date overhauled)

are the correct parts to maintain the emissions certification.

Signature _____

Date of Signature _____ / _____ / _____

NOTE: To Caterpillar or Full Service TEPS Truck Dealers.
Original of this form must be filed with the Work Order
and/or Service Report. A COPY should be offered to the
person signing the form.

Falsification of this certification is a violation of federal anti-tampering laws and may constitute tampering under Section 203(a)(3) of the Clean Air Act